IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Date: August 25, 2003

Robbert C. VAN DER LINDEN et al.

Serial No.: To Be Assigned   Group Art Unit: To Be Assigned

Filed: Herewith   Examiner: To Be Assigned

For: METHOD AND SYSTEM FOR QUERYING STRUCTURED DOCUMENTS
       SOTRED IN THEIR NATIVE FORMAT IN A DATABASE

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. §1.97

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

■   With copies (Non-Patent Literature).

☐   Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. **, filed **. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).

■   Without copies. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.

■   With the application; accordingly, no fee or separate requirements are required.

☐   After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:

    ☐   Certification under 37 CFR §1.97(e); **or**

    ☐   The fee set forth in §1.17(p)

☐   After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:

    ☐   Certification under 37 CFR §1.97(e); **and**

    ☐   The fee set forth in §1.17(p)

☐   A Certification under 37 C.F.R. §1.97(e) is provided below:

    ☐   I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.

    -or-

    ☐   I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

    Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

    If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 09-0460 (IBM Corporation)

Respectfully submitted,

August 25, 2003
Date

Michele Liu
Attorney for Applicant(s)
Reg. No. 44,875
(650) 493-4540

FORM PTO-1449 (Modified)	ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	SVL920030054US1/2865P	T Be Assigned
	APPLICANT: Robbert C. VAN DER LINDEN et al.	
(Use several sheets if necessary)	FILING DATE: Herewith	GROUP: To Be Assigned

REFERENCE DESIGNATION   **U.S. PATENT DOCUMENTS**

EXAMINER INITIALS		DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
		4	9	0	7	1	5	1	03/06/90	Bartlett	364	200	
		5	5	6	1	7	8	6	10/01/96	Morse	395	497.01	
		5	6	5	2	8	5	8	07/29/97	Okada et al.	395	464	
		5	6	7	1	4	0	3	09/23/97	Shekita et al.	395	603	
		5	9	9	5	9	5	2	11/30/99	Kato	706	15	
		6	0	8	5	1	9	3	07/04/00	Malkin et al.	707	10	

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUBCLASS	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	Chilimbi, Trishui M. et al., "Cache-Conscious Structure Layout," ACM 1999, pp. 1-12.
	Park, Songwon et al., "XML Query Processing Using Signature and DTD," E-Commerce and Web Technnologies, September 2-6, 2002, pp. 162-171.
	Park, Sangwon et al., "A New Query Processing Technique for XML Based on Signature," IEEE April 18-21, 2001, pp. 22-29.
	Park, Sangwon et al, "SigDAQ: an Enhanced XML Query Optimization Technique," The Journal of Systems and Software, No. 61, No. 2, March 15, 2002, pp. 91-103.

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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REFERENCE DESIGNATION   U.S. PATENT DOCUMENTS

EXAMINER INITIALS	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
	6	4	3	8	5	7	6	08/20/02	Huang et al.	709	202	

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER						DATE	COUNTRY	CLASS	SUBCLASS	Translation

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

		Roth, Amir, et al., "Dependence Based Prefetching for Linked Data Structures, "ACM 1998, pp. 115-126.
		Shuf, Yefim, et al., "Creating and Preserving Locality of Java Applications at Allocation and Garbage Collection Times," ACM 2002, pp. 13-25.
		Yang, Siuxi et al., "Speeding Up the Memory Hierarchy in Flat COMA Multiprocessors," IEEE, February 1-5, 1997, pp. 4-13.

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